

**APPENDIX 102C**  
**Template for the One-Year Supervision Plan**  
**NATIONAL CREDIT UNION ADMINISTRATION**  
**Office of Corporate Credit Unions**

OCCU/  
CU #

**TO:** Director  
Office of Corporate Credit Unions

**FROM:** Corporate Examiner  
Corporate Field Supervisor

**SUBJ:** One-Year Supervision Plan (OYSP): Corporate Name,  
Charter/Insurance Number

**DATE:**

**BACKGROUND**

*Discuss examination, financial information, areas of concern, etc.*

**CRIS RATINGS**

<b>Financial Risk</b>	<b>Rating</b>	<b>Trend*</b>	<b>Risk Management</b>	<b>Rating</b>	<b>Trend*</b>
Empirical Capital			Capital Accumulation Planning		
Earnings			Profit Planning & Control		
Interest Rate Risk			Interest Rate Risk Management		
Liquidity Risk			Liquidity Risk Management		
Credit Risk			Credit Risk Management		
			Operations Risk		
			Board Oversight, Audit and Compliance		
<b>Financial Risk Composite</b>			<b>Risk Management Composite</b>		

\*Use + for positive trend, – for negative trend, and = for stable.

**CHANGES IN OPERATIONS**

*Discuss new initiatives, business plans, strategy, management, and information systems changes affecting future supervision plans and/or the focus of the next annual examination. Discuss financial risk, the quality of risk management, the aggregate risk, and the direction of the risk. Any material negative change in direction of risk must be discussed.*

## APPENDIX 102C

### Template for the One-Year Supervision Plan

#### SUPERVISION TYPE

*Discuss supervision type and parameters as outlined in Chapter 102 of the Examiners Guide.*

#### SUPERVISION PLANS

Monthly/Ongoing	OnSite
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.

*Discuss any foreseeable changes that could alter the supervision plans. It is not necessary to repeat the discussion of any issues previously covered in the operational changes section on page one.*

#### ANNUAL EXAMINATION

*Discuss the next year's annual examination e.g., staffing, budget hours, additional expertise requested. Please note in the table below whether OCMP, CMS, ISS, or PSS participation is requested. Involvement of specialists should consider the risk profile, and should directly relate to the resources necessary to accomplish the supervision and examination strategy.*

*You need to ensure you document if an area did not receive a comprehensive review and when one is expected. Discuss whether base or expanded procedures were used on any focused area and what is anticipated for the next annual examination. The EIC needs to ensure a comprehensive review (at least standard procedures) of each area is completed every 3 years or more frequently, if necessary.*

#### NEXT YEAR'S RESOURCES REQUESTED TABLE

RESOURCES	# HOURS REQUESTED BY EIC	# HOURS APPROVED BY CFS
CMS		
PSS		
ISS		
OCMP		
CEs		
Other		
Totals		

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#### QUESTIONS FOR SPECIALIST PARTICIPATION

Attached is a spreadsheet which will help the EIC determine if a specialist is required. Note: There are three tabs inside the workbook one for each specialized area.

*The spreadsheet must be filled out and submitted with the OYSP. EIC discretion is still required when completing the form. A YES answer may not necessarily mean a specialist is required on the next examination. The EIC must evaluate a YES question relative to the overall risk profile of the corporate. If the EIC has any concerns they should discuss with a specialist and the CFS. This form may be used in the future by OCCU to determine risks/changes globally within corporates.*



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#### COMMENTS

*Discuss competitive pressures, key issues going forward, future earnings, operational weaknesses, etc.*

#### CUSOs

*If applicable, address whether you recommend a separate CUSO review and provide support for your recommendation.*

#### CONCURRENCE

☐ Yes

☐ No

\_\_\_\_\_  
Kent Buckham  
Director

\_\_\_\_\_  
Date